


IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE


Inventor(s) Horn et al.
Application No.: 10/694,145

Confirmation No.: 3276

Examiner:

Filing Date: 10-27-2003

Group Art Unit: 2861

Title: Features in Substrates and Methods of Forming

Mail Stop Amendment
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97 (c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:
☐ Statement under 37 CFR 1.97(e)(1) or (2), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

☒ I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313-1450. Date of Deposit: 07-01-2004
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☐ I hereby certify that this paper is being transmitted to the Patent and Trademark Office facsimile number _____ on _____
Number of pages: _____

Typed Name: Carlin Taylor

Signature: *Carlin Taylor*

Respectfully submitted,

Horn et al.

By *Paul W. Mitchell*

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Reg. No. **44,453**

Date: **07-01-2004**

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FORM PTO-1449

ATTY. DOCKET NO.

200314366-1

APPLICATION NO.

10/694,145

CONFIRMATION NO.

3276

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

APPLICANT

Horn et al.

FILING DATE

10-27-2003

GROUP

2861

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	4,721,977	01-26-1988	Fukae	
	1B	4,746,935	05-24-1988	Allen	
	1C	4,887,100	12-12-1989	Michaelis et al.	
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	1F	5,266,528	11-30-1993	Yamada	
	1G	5,369,060	11-29-1994	Baumann et al.	
	1H	5,387,314	02-07-1995	Baughman et al.	
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		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L	EP 0430593	06-05-1991	Xerox Corporation		
	1M	EP 0609012	08-03-1994	Hewlett-Packard		
	1N	EP 0764533	03-26-1997	Lexmark Int.		
	1O	EP 1138491	10-04-2001	NEC Corp.		
	1P	JP110198387	07-27-1999	Cannon		

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	British Patent Office Search Report Under Section 17- GB0301949.4
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EXAMINER

DATE CONSIDERED

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
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	2B	5,578,418	11-26-1996	Noguchi et al.	
	2C	5,658,471	08-19-1997	Murthy et al.	
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	2P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

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	3A	6,139,132	10-31-2000	Yasukawa et al.	
	3B	6,143,190	11-07-2000	Yagi et al.	
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	4D				
	4E				
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